

U.S. DEPARTMENT OF EDUCATION  
OFFICE OF SPECIAL EDUCATION AND REHABILITATIVE SERVICES  
WASHINGTON, DC 20202-2700

**FY 2013 APPLICATION KIT FOR NEW GRANTS  
UNDER**

**THE NATIONAL INSTITUTE ON DISABILITY AND REHABILITATION RESEARCH**

**SMALL BUSINESS INNOVATION RESEARCH PROGRAM**

**PHASE I**

**CFDA NUMBER: 84.133S-1**



**DATED MATERIAL – OPEN IMMEDIATELY**

**CLOSING DATE: MARCH 1, 2013**

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## **I. PROGRAM DESCRIPTION**

### **A. Invitation to Submit Proposals**

**The U.S. Department of Education (ED), Office of Special Education and Rehabilitative Services (OSERS), National Institute on Disability and Rehabilitation Research (NIDRR)** invites small business firms to submit Phase I research applications under this program announcement entitled **Small Business Innovation Research (SBIR)**. The Secretary invites applications for new awards for Fiscal Year (FY) 2013 for the SBIR Program (CFDA 84.133S-1) in the December 31, 2012 Federal Register. Firms with strong research capabilities in educational and assistive technologies, science, or engineering in any of the priority areas listed within are encouraged to participate. Consultative or other arrangements between such firms and universities or other non-profit organizations are permitted, but the small business must serve as the grantee. A note of caution that such arrangements may be permitted as long as they do not affect the small business size, status or eligibility of the prime awardees as provided for in [Section E, "Definitions" – "Small Business Concern."](#)

NIDRR's mission is to generate new knowledge and to promote its effective use to improve the abilities of individuals with disabilities to perform activities of their choice in the community and to expand society's capacity to provide full opportunities and accommodations for its citizens with disabilities. All SBIR projects funded by NIDRR must address the needs of individuals with disabilities. (See 29 U.S.C. 760.) An application to NIDRR's SBIR program should present a sound approach to the investigation of an important education, technological, engineering or scientific question that it is worthy of support under the stated criteria of this program announcement. An application should be self-contained and written with the care and thoroughness accorded to papers for publication. The applicant should review the program announcement carefully to ensure that information and data essential for evaluation are included. The scientific and technical merit of the proposed research and development (R&D) is the primary concern for all research supported by NIDRR.

The application's R&D must be responsive to NIDRR's SBIR program objectives, and it should also serve as the base for technological innovation, new commercial products, processes or services that may benefit the public. Applications must be confined principally to advanced concepts in educational and assistive technologies, scientific or engineering R&D.

**A firm must not propose market research, patent applications, or litigation. The research may be carried out through construction and evaluation of a laboratory prototype, where necessary.**

### **B. NIDRR's SBIR Program Description**

The purpose of this program is to stimulate technological innovation in the private sector, strengthen the role of small business in meeting Federal research or research and development (R/R&D) needs, increase the commercial application of Department of Education (ED) supported research results, and improve the return on investment from Federally-funded research for economic and social benefits to the Nation.

The three phases of the SBIR program are:

**Phase I** – Phase I is intended to determine, insofar as possible, the scientific or technical merit and feasibility of ideas submitted under the SBIR program. The application should concentrate on research that will significantly contribute to proving the scientific or technical feasibility of the approach or concept, a prerequisite to further ED support in Phase II. Applications are evaluated by panels of expert reviewers based on criteria published in this program announcement. **Awards are for periods up to six months.** The maximum award amount includes both direct and indirect costs and any reasonable profit/fee requested.

**Phase II** – Phase II is intended to expand on the results of and to further pursue the development of Phase I projects. Phase II is the principal research or R&D effort. It requires a more comprehensive application, outlining the effort in detail including its commercial potential. All Phase I awardees with approaches that appear sufficiently promising are eligible to apply for Phase II. Once again, applications are evaluated based on published criteria by panels of experts.

**Awards are for periods up to two years.** The maximum award amount includes both direct and indirect costs and fee. Applicants are allowed the option to distribute the funding for the two-year performance period in equal amounts for each budget period or to request an alternative distribution of funds. The second year of the award will be approved contingent upon submission of an annual performance report and the demonstration of adequate progress in the first year.

**Phase III** – In Phase III, the small business must use non-SBIR capital to pursue commercial applications of the research or research and development. Also, under Phase III, Federal agencies may award non-SBIR follow-on funding for products or processes that meet the needs of those agencies. NIDRR does not presently participate in Phase III.

### **C. Program Eligibility**

Each organization submitting an application **must** qualify as a **small business concern** as defined by the Small Business Administration **at the time of the award**. The complete definition is included in [Section E, “Definitions.”](#)

In addition, the **primary employment of the principal investigator must** be with the small business firm at the time of award and during the conduct of the proposed research. That is, more than one-half of the principal investigator’s working time must be spent with the small business firm during the period of performance. Also, for both Phase I and Phase II the research or R&D work **must** be performed in the United States. “United States” means the 50 states, the territories and possessions of the Federal Government, the Commonwealth of Puerto Rico, the District of Columbia, the Republic of the Marshall Islands, the Federated States of Micronesia, and the Republic of Palau.

**Joint ventures** are permitted, provided that the business entity created qualifies as a small business in accordance with the Small Business Act, 15 U.S.C. 631. For **Phase I**, the proposing firm must perform at least two-thirds of the research and/or analytic effort. Furthermore, the total of all consultant fees, facility leases or usage fees, and other subcontracts or purchase agreements may not exceed one-third of the total funding agreement price.

**SBIR Eligibility Checklist**

- ✓ For-profit small business concern.
- ✓ At least 51% U.S.-owned and independently operated.
- ✓ Small business located in the U.S.
- ✓ Principal investigator's primary employment with small business during the project.
- ✓ 500 or fewer employees.

Department of Education staff will examine all SBIR grant applications with the above considerations in mind. If it appears that an applicant organization does not meet the eligibility requirements, we will request an evaluation by the SBA. Under circumstances in which eligibility is unclear, we will not make an SBIR award until the SBA provides a determination.

**Phase I – Phase II Transition Benchmark**

For all Phase I applicants who have received 20 or more Phase I awards from ED—including NIDRR and the Institute of Education Sciences (IES)—over the 10-year period that ends one year prior to the date of submission, the ratio of Phase II awards received to Phase I awards received during this period must be at least 0.25.

If it is determined that such a Phase I applicant does not meet this requirement, the applicant will not be eligible for an SBIR or STTR Phase I award for one year beginning at the time of the determination.

There is no Phase I – Phase II transition rate requirement for Phase I applicants who have received less than 20 Phase I awards over this period. If a Phase I awardee who received over 20 Phase I awards during this period did not receive the required percentage of Phase II awards, yet nevertheless successfully commercialized their Phase I technology, this applicant may submit their commercialization results for consideration in lieu of meeting this transition requirement.

This Phase I – Phase II transition requirement will be noted in ED SBIR solicitations beginning with the solicitation to be issued in Fiscal Year 2013.

**D. Agency Contacts**

AWARDING COMPONENT CONTACT INFORMATION		
AWARDING COMPONENT	PROGRAM OFFICE CONTACT	GRANTS MANAGEMENT CONTACT
<b>Office of Special Education and Rehabilitative Services (OSERS)</b>  <b>National Institute on Disability and Rehabilitation Research (NIDRR)</b> <a href="http://www2.ed.gov/programs/nidrr/index.html">http://www2.ed.gov/programs/nidrr/index.html</a>	<b>Vanessa Tesoriero</b>  <b>Phone:</b> (202) 245-7462 <b>VP/VCO:</b> (202) 715-1464  <b>Email:</b> <a href="mailto:Vanessa.Tesoriero@ed.gov">Vanessa.Tesoriero@ed.gov</a>	<b>Lynn Medley</b>  <b>Phone:</b> (202) 245-7338  <b>Email:</b> <a href="mailto:Lynn.Medley@ed.gov">Lynn.Medley@ed.gov</a>

Address questions pertaining to **human subjects research issues** to:

**Jeffery Rodamar**

Protection of Human Subjects Coordinator  
Office of the Chief Financial Officer  
400 Maryland Avenue, SW  
Room 6144, PCP  
Washington, DC 20202

**Phone:** (202) 245-8090  
**Email:** [Jeffery.Rodamar@ed.gov](mailto:Jeffery.Rodamar@ed.gov)

## **E. Definitions**

The Small Business Administration (SBA) developed the following definitions relevant to the Small Business Innovation Research (SBIR) Program:

### **Act**

The Small Business Act (15 U.S.C. 631, et seq.), as amended.

### **Applicant**

The organizational entity that qualifies as an SBC at all pertinent times and that submits a contract proposal or a grant application for a funding agreement under the SBIR Program.

### **Affiliate**

This term has the same meaning as set forth in 13 CFR Part 121 - Small Business Size Regulations, §121.103 (available at <http://ecfr.gpoaccess.gov/cgi/t/text/text-idx?c=ecfr;sid=6c402a27c4315260fcd1139ddc65276d;rgn=div5;view=text;node=13%3A1.0.1.1.17;idno=13;cc=ecfr#13:1.0.1.1.17.1.267.3>).

### **Awardee**

The SBC receiving an SBIR funding agreement.

### **Commercialization**

The process of developing products, processes, technologies, or services and the production and delivery (whether by the originating party or others) of the products, processes, technologies, or services for sale to or use by the Federal government or commercial markets.

### **Covered Small Business Concern**

A small business concern that:

(1) Was not majority-owned by multiple venture capital operating companies (VCOCs), hedge funds, or private equity firms on the date on which it submitted an application in response to a solicitation under the SBIR program; and (2) Is majority-owned by multiple venture capital operating companies, hedge funds, or private equity firms on the date of the SBIR award.

### **Essentially Equivalent Work**

Work that is substantially the same research, which is proposed for funding in more than one contract proposal or grant application submitted to the same Federal agency or submitted to two or more different Federal agencies for review and funding consideration; or work where a specific research objective and the research design for accomplishing the objective are the same or closely related to another proposal or award, regardless of the funding source.

### **Extramural Budget**

The sum of the total obligations for R/R&D minus amounts obligated for R/R&D activities by employees of a Federal agency in or through Government-owned, Government-operated facilities.

### **Feasibility**

The practical extent to which a project is capable of being successfully performed.



**Funding Agreement**

Any contract, grant, or cooperative agreement entered into between any Federal agency and any SBC for the performance of experimental, developmental, or research work, including products or services, funded in whole or in part by the Federal Government.

**Historically Underutilized Business Zone (HUBZone)**

An SBC meeting the following criteria:

1. Located in a —historically underutilized business zone or HUBZone area located in one or more of the following:
  - a) A qualified census tract (as defined in section 42(d)(5)(C)(i)(I) of the Internal Revenue Code of 1986;
  - b) A qualified —non-metropolitan county (as defined in section 143(k)(2)(B) of the Internal Revenue Code of 1986) with a median household income of less than 80 percent of the State median household income or with an unemployment rate of not less than 140 percent of the Statewide average, based on US Department of Labor recent data; or,
  - c) Lands within the boundaries of federally recognized Indian reservations.
2. Owned and controlled by one or more US Citizens; and,
3. At least 35% of its employees must reside in a HUBZone.

**Innovation**

Something new or improved, having marketable potential, including (1) development of new technologies, (2) refinement of existing technologies, or (3) development of new applications for existing technologies.

**Intellectual Property**

The separate and distinct types of intangible property that are referred to collectively as "intellectual property," including but not limited to: patents; trademarks; copyrights; trade secrets; SBIR technical data (as defined in this section); ideas; designs; know-how; business, technical and research methods; and other types of intangible business assets, including all types of intangible assets either proposed or generated by an SBC as a result of its participation in the SBIR Program.

**Joint Venture**

See 13 C.F.R. §121.103(h) (available at <http://ecfr.gpoaccess.gov/cgi/t/text/text-idx?c=ecfr;sid=ac17577b316179abf721d55ea31d3d74;rgn=div5;view=text;node=13%3A1.0.1.1.17;idno=13;cc=ecfr#13:1.0.1.1.17.1.267.3>).

**Manufacturing-Related**

Relating to manufacturing processes, equipment and systems, or manufacturing workforce skills and protection (as defined in Executive Order 13329 available at <http://www.gpo.gov/fdsys/pkg/FR-2004-02-26/pdf/04-4436.pdf>).

**Principal Investigator/Project Manager**

The one individual designated by the applicant to provide the scientific and technical direction to the project that will be supported by the funding agreement.

**Prototype**

A model of something to be further developed, which includes designs, protocols, questionnaires, software, and devices.

**Research or Research and Development (R/R&D)**

Any activity that is:

1. A systematic, intensive study directed toward greater knowledge or understanding of the subject studied;
2. A systematic study directed specifically toward applying new knowledge to meet a recognized need; or
3. A systematic application of knowledge toward the production of useful materials, devices, and systems or methods, including design, development, and improvement of prototypes and new processes to meet specific requirements.

**SBIR Technical Data**

All data generated in the performance of any SBIR funding agreement.

**SBIR Technical Data Rights**

The rights an SBC obtains in data generated in the performance of any SBIR funding agreement that an awardee delivers to the Government during or upon completion of a Federally-funded project, and to which the Government receives a license.

**Small Business Concern**

A concern that meets the requirements set forth in 13 C.F.R. §121.702 (available at <http://ecfr.gpoaccess.gov/cgi/t/text/text-idx?c=ecfr;sid=03878acee7c064a02cac0d870e00ef43;rgn=div8;view=text;node=13%3A1.0.1.1.17.1.273.45;idno=13;cc=ecfr>).

**Socially and Economically Disadvantaged Individual**

See 13 C.F.R. §§ 124.103 & 124.104 (available at <http://ecfr.gpoaccess.gov/cgi/t/text/text-idx?c=ecfr&sid=0ad233d94d83ff8fc5bb36fb81d06c12&rgn=div8&view=text&node=13:1.0.1.1.19.1.288.7&idno=13>).

**Subcontract**

Any agreement, other than one involving an employer/employee relationship, entered into by an awardee of a funding agreement calling for supplies or services required solely for the performance of the original funding agreement.

**United States**

The 50 states, the territories and possessions of the Federal Government, the Commonwealth of Puerto Rico, the District of Columbia, the Republic of the Marshall Islands, the Federated States of Micronesia, and the Republic of Palau.

**Woman-Owned Small Business Concern (WOSB)**

An SBC that is at least 51% owned by one or more women, or in the case of any publicly owned business, at least 51% of the stock is owned by women, and women control the management and daily business operations.

## **F. Fraud, Waste and Abuse**

The Office of Inspector General (OIG) Hotline is available for anyone suspecting fraud, waste, or abuse involving U.S. Department of Education funds or programs to provide their concern to the OIG. Complaints or concerns received through the Hotline are evaluated, consistent with established agency performance measures published in the [OIG Annual Plan](#), and may be referred for OIG investigation, audit, inspection or other review.

Not all complaints filed with the OIG will generate an investigation, audit or inspection by the OIG. Matters may be referred to another office within the U.S. Department of Education or to an external entity as appropriate.

- Complaints may be submitted via e-mail 24 hours a day, seven days a week.
- Click Here to Submit a Complaint in [English](#) or [Español](#).

If you prefer, you may contact the Inspector General's Hotline by:

- Calling the OIG Hotline's toll free number 1-800-MIS-USED. Hotline Operators take calls during the hours of Monday and Wednesday 9:00 AM until 11:00 AM, Eastern Time; Tuesday and Thursday, 1:00 PM until 3:00 PM, Eastern Time except for holidays.
- Downloading a hardcopy of [the special complaint form](#), complete, and mail to:

**Inspector General's Hotline  
Office of Inspector General  
U.S. Department of Education  
400 Maryland Avenue, S.W.  
Washington, D.C. 20202-1500**

Your report may be made anonymously or in confidence. For [Law Enforcement Agencies](#) in need of immediate assistance, please contact the nearest OIG field office. To report suspected fraud, waste or abuse involving other Inspector General agencies, click the following link for a directory <http://www.ignet.gov/igs/homepage1.html>.

## II. CERTIFICATIONS AND STATEMENTS

The applicant must respond to the following certifications and statements as required by the Small Business Administration. **These certifications and statements must be uploaded to the application in Grants.gov under the section for “Other Narrative Forms”.** Please see [Section \(VI\)\(C\)](#) for more information and specific uploading instructions.

### A. Certifications

#### Small Business Certification

Does the offeror certify that it is a small business concern and meets the definition as stated in the program solicitation or that it will meet that definition at the time of award?

☐ Yes      ☐ No

Number of Employees including all affiliates (average for preceding 12 months): \_\_\_\_\_

#### Socially and Economically Disadvantaged SBC Certification

Does the offeror qualify as a socially and economically disadvantaged SBC and meet the definition as stated in this program solicitation?

☐ Yes      ☐ No

#### Woman-owned SBC Certification

Does the offeror qualify as a woman-owned SBC and meet the definition as stated in this program solicitation?

☐ Yes      ☐ No

#### HUBZone-owned SBC Certification

Does the offeror qualify as a HUBZone-owned SBC and meet the definition as stated in this solicitation?

☐ Yes      ☐ No

*The website listed below contains information about the SBA's HUBZone program:*

<http://www.sba.gov/hubzone/>

**Historical Black College or University or Minority Institution (HBCU/MI) Certification**

Is a Historically Black College or University or Minority Institution (HBCU/MI) participating in this effort as a subcontractor?

☐ Yes      ☐ No

If yes, please provide the name of the entity proposed: \_\_\_\_\_

**Primary Employment Certification**

Is the primary employment (51 percent or more time) of the principal investigator with the proposing firm?

☐ Yes      ☐ No

**Corporate Entity Certification**

Is more than 50 percent of the firm owned or managed by a corporate entity?

☐ Yes      ☐ No

**Manufacturing-Related Project Certification**

If R/R&D from an eventual Phase II award leads to a completed product is it possible that this product will be manufactured (e.g. production) on a wide scale basis?

☐ Yes      ☐ No

*In cases where there is a tie in the award selection process, ED will give priority to projects that are manufacturing-related. (This "tie-breaker" specification allows the ED program to apply an additional preference without compromising the quality standards or established criteria of the program.)*

**Required Certification to Submit with Interim and Final Reports**

Submission of this certification is required with the all interim reports and the final report:

- I certify that the Principal Investigator currently is \_\_\_\_, is not \_\_\_\_ "primarily employed" by the firm as defined in the SBIR solicitation.
- I certify that the work under this project has \_\_\_\_, has not \_\_\_\_, been submitted for funding to another Federal agency and that it has \_\_\_\_, has not \_\_\_\_ been funded under any other Federal grant, contract, or subcontract.
- I certify that to the best of my knowledge the work for which payment is hereby requested was performed in accordance with the award terms and conditions and that payment is due and has not been previously requested.
- I certify that to the best of my knowledge, (1) the statements herein (excluding scientific hypotheses and scientific opinions) are true and complete; and (2) the text and graphics in this report as well as

*any accompanying publications or other documents, unless otherwise indicated, are the original work of the signatories or individuals working under their supervision.*

- *I understand that the willful provision of false information or concealing a material fact in this report or any other communication submitted to ED is a criminal offense (U.S. Code, title 18, Section 1001).*

Authorized Company Officer:

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

Principal Investigator:

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

## **B. Statements**

The applicant must respond to the following statements required by the Small Business Administration.

### **Duplicate Research Statement**

The applicant and/or principal investigator (***choose one:*** ☐ ***has*** or ☐ ***has not***) submitted proposals for essentially equivalent work under other Federal program solicitations.

The applicant and/or principal investigator (***choose one:*** ☐ ***has*** or ☐ ***has not***) received other Federal awards for essentially equivalent work. (For more information regarding how to identify proposals and/or awards, see [Section \(III\)\(E\)\(10\), Technical Content \(Project Narrative\), Similar Proposals or Awards](#)).

### **Disclosure Permission Statement**

Will the applicant permit the Government to disclose the title and technical abstract page of the proposed project, plus the name, address, and telephone number of the corporate official of the applicant's firm, if the proposal does not result in an award, to concerns that may be interested in contacting you for further information?

☐ **Yes**

☐ **No**

### III. PROPOSAL PREPARATION INSTRUCTIONS AND REQUIREMENTS

#### A. Limitations on Length of Proposal

This program announcement is designed to reduce the investment of time and money to small firms in preparing a formal application. Those who wish to respond should submit an SBIR Phase I application narrative of **no more than 50 pages**, excluding the abstract/summary, certifications, statements, table of contents, bibliography, any documentation of prior multiple Phase II awards, if applicable, and required forms.

The application must be clear, readily legible, and conform to the following standards:

- **A page is 8.5" x 11" (21.6 cm x 27.9 cm), on one side only, with 1" (2.5 cm) margins at the top, bottom, and both sides.**
- **Double space (no more than three lines per vertical inch) all text in the application narrative.**
- **Use a font that is either 12 point or larger or no smaller than 10 pitch (characters per inch). Use one of the following fonts: Times New Roman, Courier, Courier New, or Arial.**
- **Draw all graphs, diagrams, tables, and charts in black ink. Do not include glossy photographs, or materials that cannot be photocopied, in the body of the application.**

The Department will reject your application if—

- You apply these standards and exceed the page limit; or
- You apply other standards and exceed the equivalent of the page limit.

In the interest of equity to all applicants, **all of the application narrative must be in the 50 double-spaced pages**. No appendices, other than the exclusion cited above, may be submitted and, if submitted, they will not be considered in the review of the application for scientific and technical merit.

The application should be direct, concise, and informative. Promotional and other discussion not related to the project is discouraged. The application must be primarily directed at research or R&D on the specific priority chosen.



## **B. Proposal Cover Sheet**

The SF 424 is a standard cover sheet form that required for submission of applications. This application cover sheet requires basic identifying information about the applicant and the application. [See Section X, “Submission Forms”](#) for more information and instructions for completing this form.

## **C. Abstract or Summary**

Applicants are required to include a one-page (single- or double-spaced) project summary of the proposed R/R&D including at least the following:

1. Name and address of SBC.
2. Name and title of principal investigator or project manager.
3. Agency name and CFDA number (84.133S-1)
4. Title of project.
5. Technical abstract limited to two hundred words.
6. Summary of the anticipated results and implications of the approach (both Phases I and II) and the potential commercial applications of the research.

**Note: Nothing in this section should be proprietary or confidential.**

## **D. Technical Content (Project Narrative)**

The application narrative responds to the selection criteria found in Section (VI)(A) of this application package. The reviewers will use this section to evaluate your application.

**Each applicant must limit their project narrative to the equivalent of no more than 50, double-spaced pages.**

### **Be sure to:**

- Include a Table of Contents (this does not count toward the page limit).
- Begin numbering the first page in Arabic numerals (“1”) and number the pages consecutively throughout the document.
- Include all critical information in the project narrative, minimizing the need for additional appendices.
- Include a complete bibliography listing all material that was referenced in the project narrative (this does not count toward the page limit).

**In no more than 50, double-spaced pages, address the following 11 areas:**

### **1. Identification and Significance of the Problem or Opportunity**

Make a clear statement of the specific technical problem or opportunity addressed and explain its importance.

**2. Phase I Technical Objectives**

State the specific objectives of the Phase I research and development effort, including the technical questions it will try to answer to determine the feasibility of the proposed approach.

**3. Phase I Work Plan**

Include a detailed description of the Phase I R/R&D plan. The plan should indicate what will be done, where it will be done, and how the R/R&D will be carried out. Phase I R/R&D should address the objectives and the questions cited in (E)(2) immediately above. The methods planned to achieve each objective or task should be discussed in detail.

**4. Related R/R&D**

Describe significant R/R&D that is directly related to the proposal including any conducted by the project manager/principal investigator or by the proposing SBC. Describe how it relates to the proposed effort, and any planned coordination with outside sources. The applicant must persuade reviewers of his or her awareness of key, recent R/R&D conducted by others in the specific topic area.

**5. Key Individuals and Bibliography of Directly Related Work**

Identify key individuals involved in Phase I including their directly-related education, experience, and bibliographic information. Where vitae are extensive, summaries that focus on the most relevant experience or publications are desired and may be necessary to meet proposal size limitation.

**6. Relationship with Future R/R&D**

- a. State the anticipated results of the proposed approach if the project is successful (Phase I and II).
- b. Discuss the significance of the Phase I effort in providing a foundation for the Phase II R/R&D effort.

**7. Facilities**

A detailed description, availability and location of instrumentation and physical facilities proposed for Phase I should be provided.

**8. Consultants**

Involvement of consultants in the planning and research stages of the project is permitted. If such involvement is intended, it should be described in detail. [NOTE: [See Section \(V\)\(H\) for "Subcontracting Limits".](#)]

## 9. Potential Post Applications

Briefly describe:

- Whether and by what means the proposed project appears to have potential commercial application.
- Whether and by what means the proposed project appears to have potential use by the Federal Government (if, in fact, it does).

## 10. Similar Proposals or Awards

**WARNING** -While it is permissible with proposal notification to submit identical proposals or proposals containing a significant amount of essentially equivalent work for consideration under numerous Federal program solicitations, it is unlawful to enter into funding agreements requiring essentially equivalent work. If there is any question concerning this, it must be disclosed to the soliciting agency or agencies before award. If an applicant elects to submit identical proposals or proposals containing a significant amount of essentially equivalent work under other Federal program solicitations, a statement must be included in each such proposal indicating:

- a. The name and address of the agencies to which proposals were submitted or from which awards were received.
- b. Date of proposal submission or date of award.
- c. Title, number, and date of solicitations under which proposals were submitted or awards received.
- d. The specific applicable research topics for each proposal submitted or award received.
- e. Titles of research projects.
- f. Name and title of principal investigator or project manager for each proposal submitted or award received.

## 11. Prior SBIR Phase II Awards

If your small business has received more than 15 Phase II awards in the prior 5 fiscal years, the SBC must submit in its Phase I proposal: name of the awarding agency; date of award; funding agreement number; amount of award; topic or subtopic title; follow-on agreement amount; source and date of commitment; and current commercialization status for each Phase II award. **(This required proposal information will not be counted toward the proposal page limitation.)**

## **E. Cost Breakdown/Proposed Budget**

The application must include the submission of cost or budget data. Use the Budget Summary form (**ED Form 524**) to present a complete budget summary for the proposed project dates. You must also provide a justification for this budget by including a detailed narrative description for each budget line item. This narrative will be uploaded separately from ED Form 524. See [Section \(VI\)\(C\), “Uploading Instructions,”](#) for more information about uploading this narrative. See [Section X, “Submission Forms”](#) for instructions for completing ED Form 524.

**Indirect Costs:** If your organization does not currently have a negotiated indirect cost rate and is applying for a grant, you may estimate the indirect cost rate using the most recent financial data such as audited financial statements or other financial reports. The indirect cost estimate, based on that information, should be included in your grant application. If the grant award is made and the U.S. Department of Education (ED) provides the majority of federal funding to your organization, an indirect cost proposal (including supporting documentation) must be submitted to ED’s Indirect Cost Group within 90 days of the award. After receipt of the proposal, the office will begin the process of negotiating and approving a provisional indirect cost rate for your organization. Under our current regulations, **a temporary indirect cost rate of 10% of direct salaries and wages** may be allowed until an indirect cost rate has been approved.

## IV. METHOD OF SELECTION AND EVALUATION CRITERIA

All Phase I and II proposals will be evaluated and judged on a competitive basis.

- All applications will be **screened** to confirm completeness and determine responsiveness. Those applications not satisfying all the requirements will be returned to the proposing organization without review.
- Persons who are experts in the priority areas will evaluate applications meeting those requirements. Reviewers will include people outside the Federal Government. Each application will be judged on its own merit, according to the review criteria described below.

**The Department of Education will make awards based upon these evaluation criteria and the availability of funds.**

### A. Evaluation Criteria

The Secretary selects the following selection criteria in 34 CFR 350.54 to evaluate applications for new grants under this competition. The criteria are listed below with respective weights. The maximum total score for all of these criteria is 100 points.

#### 1. *Importance of the problem* (20 POINTS)

- a. The Secretary considers the importance of the problem.
- b. In determining the importance of the problem, the Secretary considers one or more of the following factors:
  - (i) The extent to which the applicant clearly describes the need and target population.
  - (ii) The extent to which the proposed activities address a significant need of one or more disabled populations.
  - (iii) The extent to which the proposed project will have beneficial impact on the target population.

#### 2. *Design of development activities* (50 POINTS)

- a. The Secretary considers the extent to which the design of development activities is likely to be effective in accomplishing the objectives of the project..
- b. In determining the extent to which the design is likely to be effective in accomplishing the objectives of the project, the Secretary considers one or more of the following factors:
  - (i) The extent to which the plan for development, clinical testing, and evaluation of new devices and technology is likely to yield significant products or techniques, including consideration of the extent to which—
    - (A) The proposed project will use the most effective and appropriate technology available in developing the new device or technique;

- (B) The proposed development is based on a sound conceptual model that demonstrates an awareness of the state-of-the-art in technology;
- (C) The new device or technique is likely to be cost-effective and useful;
- (D) The new device or technique has the potential for commercial or private manufacture, marketing, and distribution of the product.

**3. *Project staff* (15 POINTS)**

- a. The Secretary considers the quality of the project staff.
- b. In determining the quality of the project staff, the Secretary considers the extent to which the applicant encourages applications for employment from persons who are members of groups that have traditionally been underrepresented based on race, color, national origin, gender, age, or disability.
- c. In addition, the Secretary considers one or more of the following:
  - (i) The extent to which the key personnel and other key staff have appropriate training and experience in disciplines required to conduct all proposed activities.
  - (ii) The extent to which the commitment of staff time is adequate to accomplish all the proposed activities of the project.

**4. *Adequacy and reasonableness of the budget* (5 POINTS)**

- a. The Secretary considers the adequacy and the reasonableness of the proposed budget.
- b. In determining the adequacy and the reasonableness of the proposed budget, the Secretary considers one or more of the following factors:
  - (i) The extent to which the costs are reasonable in relation to the proposed project activities.
  - (ii) The extent to which the budget for the project, including any subcontracts, is adequately justified to support the proposed project activities.

**5. *Adequacy and accessibility of resources* (10 POINTS)**

- a. The Secretary considers the adequacy and accessibility of the applicant's resources to implement the proposed project.
- b. In determining the adequacy and accessibility of resources, the Secretary considers one or more of the following factors:
  - (i) The extent to which the applicant is committed to provide adequate facilities, equipment, other resources, including administrative support, and laboratories, if appropriate.

**B. Release of Proposal Review Information**

After final award decisions have been announced, the technical evaluations of the applicant's proposal will be provided to the applicant. No one other than the Principal Investigator may receive the technical evaluations. Applicants normally receive their evaluations within six (6) to eight (8) weeks following the announcement of the awards. The identity of the reviewers will not be disclosed.

## V. CONSIDERATIONS

### A. Awards

For FY 2013, NIDRR anticipates funding the following:

- **ESTIMATED NUMBER OF GRANT AWARDS:** 15.
- **MAXIMUM AWARD:** \$75,000.
- **PROJECT PERIOD:** Up to six months.

### B. Reports

The Government Performance and Results Act (GPRA) of 1993 places new management expectations and requirements on Federal departments and agencies by creating a framework for more effective planning, budgeting, program evaluation, and fiscal accountability for Federal programs. The intent of the Act is to improve public confidence by holding departments and agencies accountable for achieving program results. Departments and agencies should clearly describe the goals and objectives of their programs, identify resources and actions needed to accomplish these goals and objectives, develop a means of measuring progress made, and regularly report on their achievement.

Grantees are required to report on the progress of their work throughout the award period and submit a final Phase I Performance Report to the assigned Program Officer of the U.S. Department of Education. The report should identify the purpose of the research, and include a brief description of the research carried out, the research findings or results, and the potential applications of the research. **This project summary is to be submitted without restriction on publication and may be published by ED.** The performance report should include performance and financial expenditure information as required by the awarding Program Office.

### C. Innovations, Inventions and Patents

#### 1. Proprietary Information

Information contained in unsuccessful proposals will remain the property of the applicant. The Government may, however, retain copies of all proposals. Public release of information in any proposal submitted will be subject to existing statutory and regulatory requirements. If proprietary information is provided by an applicant in a proposal, which constitutes a trade secret, proprietary commercial or financial information, confidential personal information or data affecting the national security, it will be treated in confidence, to the extent permitted by

law. This information must be clearly marked by the applicant with the term “confidential proprietary information” and the following legend must appear on the title page of the proposal:

*“These data shall not be disclosed outside the Government and shall not be duplicated, used, or disclosed in whole or in part for any purpose other than evaluation of this proposal. If a funding agreement is awarded to this applicant as a result of or in connection with the submission of these data, the Government shall have the right to duplicate, use, or disclose the data to the extent provided in the funding agreement and pursuant to applicable law. This restriction does not limit the Government's right to use information contained in the data if it is obtained from another source without restriction. The data subject to this restriction are contained on pages \_\_\_ of this proposal.”*

Any other legend may be unacceptable to the Government and may constitute grounds for removing the proposal from further consideration, without assuming any liability for inadvertent disclosure. The Government will limit dissemination of such information to within official channels.

## 2. Rights in Data Developed Under SBIR Funding Agreements

To preserve the SBIR data rights of the awardee, the legend (or statements) used in the SBIR Data Rights clause included in the SBIR award must be affixed to any submissions of technical data developed under that SBIR award. If no Data Rights clause is included in the SBIR award, the following legend, at a minimum, should be affixed to any data submissions under that award.

*“These SBIR data are furnished with SBIR rights under Funding Agreement No. \_\_\_ (and subcontract No. \_\_\_ if appropriate), Awardee Name \_\_\_, Address, Expiration Period of SBIR Data Rights \_\_\_. The Government may not use, modify, reproduce, release, perform, display, or disclose technical data or computer software marked with this legend for (choose four (4) or five (5) years). After expiration of the (4-or 5-year period), the Government has a royalty-free license to use, and to authorize others to use on its behalf, these data for Government purposes, and is relieved of all disclosure prohibitions and assumes no liability for unauthorized use of these data by third parties, except that any such data that is also protected and referenced under a subsequent SBIR award shall remain protected through the protection period of that subsequent SBIR award. Reproductions of these data or software must include this legend.”*

## 3. Copyrights

With prior written permission of the contracting officer, the awardee normally may copyright and publish (consistent with appropriate national security considerations, if any) material developed with ED support. ED receives a royalty-free license for the Federal Government and requires that each publication contain an appropriate acknowledgement and disclaimer



statement.

#### 4. Patents

Small business concerns normally may retain the principal worldwide patent rights to any invention developed with Government support. In such circumstances, the Government receives a royalty-free license for Federal Government use, reserves the right to require the patent holder to license others in certain circumstances, and may require that anyone exclusively licensed to sell the invention in the United States must normally manufacture it domestically. To the extent authorized by 35 U.S.C. 205, the Government will not make public any information disclosing a Government-supported invention for a minimum 4-year period (that may be extended by subsequent SBIR funding agreements) to allow the awardee a reasonable time to pursue a patent.

#### 5. Invention Reporting

SBIR awardees must report inventions to the awarding agency within 2 months of the inventor's report to the awardee. The reporting of inventions may be accomplished by submitting paper documentation, including fax.

### **D. Cost-Sharing**

Cost-sharing is permitted for proposals under this program solicitation; however, cost-sharing is not required. Cost-sharing will not be an evaluation factor in consideration of your Phase I proposal.

### **E. Profit or Fee**

The SBA has stated that SBIR funding agencies are to provide for a **reasonable** fee or profit on SBIR funding agreements, including grants, **consistent with normal profit margins provided to profit-making firms for R/R&D work** (SBIR —Policy Directive). Questions pertaining to this area can be discussed with the Grants Management Contacts listed in [section \(I\)\(D\) “Agency Contacts.”](#)

Both Phase I and Phase II awards may include a reasonable profit/fee. Funds requested for a profit/fee must be included in the funds specified as requested in Section A--Budget Summary of the application forms. The budget cannot exceed the maximum amount allowable in any budget year. Applications that exceed the maximum amount allowable in any year will not be reviewed.

## **F. Joint Ventures or Limited Partnerships**

Joint ventures and limited partnerships are eligible provided the entity created qualifies as a small business concern as defined in this program announcement.

## **G. Research and Analytical Work – Subcontracting Limits**

For **Phase I a minimum of two-thirds of the research and/or analytical effort** must be performed by the proposing small business concern unless otherwise approved in writing by the funding agreement officer after consultation with the agency SBIR Program Manager/Coordinator.

For **Phase II a minimum of one-half of the research and/or analytical effort** must be performed by the proposing small business concern unless otherwise approved in writing by the funding agreement officer after consultation with the agency SBIR Program Manager/Coordinator.

## **H. Awardee Commitments**

Upon award of a funding agreement, the awardee will be required to make certain legal commitments through acceptance of numerous clauses in Phase I funding agreements. The outline that follows is illustrative of the types of clauses to which the contractor would be committed. This list is not a complete list of clauses to be included in Phase I funding agreements, and is not the specific wording of such clauses. Copies of complete terms and conditions are available upon request.

1. Standards of Work. Work performed under the funding agreement must conform to high professional standards.
2. Inspection. Work performed under the funding agreement is subject to Government inspection and evaluation at all times.
3. Examination of Records. The Comptroller General (or a duly authorized representative) must have the right to examine any pertinent records of the awardee involving transactions related to this funding agreement.
4. Default. The Government may terminate the funding agreement if the contractor fails to perform the work contracted.
5. Termination for Convenience. The funding agreement may be terminated at any time by the Government if it deems termination to be in its best interest, in which case the awardee will be compensated for work performed and for reasonable termination costs.
6. Disputes. Any dispute concerning the funding agreement that cannot be resolved by agreement must be decided by the contracting officer with right of appeal.
7. Contract Work Hours. The awardee may not require an employee to work more than 8 hours a day or 40 hours a week unless the employee is compensated accordingly (for example, overtime pay).

8. Equal Opportunity. The awardee will not discriminate against any employee or applicant for employment because of race, color, religion, sex, or national origin.
9. Affirmative Action for Veterans. The awardee will not discriminate against any employee or application for employment because he or she is a disabled veteran or veteran of the Vietnam era.
10. Affirmative Action for Handicapped. The awardee will not discriminate against any employee or applicant for employment because he or she is physically or mentally handicapped.
11. Officials Not To Benefit. No Government official must benefit personally from the SBIR funding agreement.
12. Covenant Against Contingent Fees. No person or agency has been employed to solicit or secure the funding agreement upon an understanding for compensation except bona fide employees or commercial agencies maintained by the awardee for the purpose of securing business.
13. Gratuities. The funding agreement may be terminated by the Government if any gratuities have been offered to any representative of the Government to secure the award.
14. Patent Infringement. The awardee must report each notice or claim of patent infringement based on the performance of the funding agreement.
15. American Made Equipment and Products. When purchasing equipment or a product under the SBIR funding agreement, purchase only American-made items whenever possible.

## **I. Additional Information**

1. This program announcement is intended for informational purposes and reflects current planning. If there is an inconsistency between the information contained herein and the terms of any resulting SBIR funding agreement, then the terms of the funding agreement are controlling.
2. Before award of an SBIR funding agreement, the Government may request the applicant to submit certain organizational, management, personnel, and financial information to assure responsibility of the applicant.
3. The Government is not responsible for any monies expended by the applicant before award of any funding agreement.
4. This program solicitation is not an offer by the Government and does not obligate the Government to make any specific number of awards. Also, awards under the SBIR Program are contingent upon the availability of funds.

5. The SBIR program is not a substitute for existing unsolicited application mechanisms. The Government shall not accept unsolicited applications under the SBIR program in either Phase I or Phase II.
6. If an award is made pursuant to an application submitted under this program announcement, the grantee will be required to certify that he or she has not previously been, nor is currently being, paid for essentially equivalent work by any agency of the Federal Government.
7. In the interests of those with special needs, the applicant is encouraged to develop products that include alternate formats (e.g., closed- or open-captioning for films and/or videotapes, Braille, large print, audiotape).

## VI. SUBMISSION OF PROPOSALS

### A. Grants.gov Submission Procedures and Tips for Applicants

**PLEASE NOTE: Applications Under This Competition Must Be Submitted Electronically Using Grants.gov ([www.grants.gov](http://www.grants.gov)).**

[INSERT ED's GRANTS.GOV SUBMISSION TIPS DOCUMENT]

### B. Application Deadline

Applications received by Grants.gov are date and time stamped. Your application must be fully uploaded and submitted and must be date and time stamped by the Grants.gov system no later than 4:30:00 p.m., Washington, DC time, on **March 1, 2013**. Except as otherwise noted in this section, we will not accept your application if it is received--that is, date and time stamped by the Grants.gov system--after 4:30:00 p.m., Washington, DC time, on the application deadline date.

If you qualify for an exception to the electronic submission requirement and have obtained a waiver, applications for an award must be postmarked or hand delivered by **March 1, 2013**. See below, [Section \(VI\)\(D\)](#), for more information.

### C. Uploading Instructions

A combination of forms and narrative documents are required for a complete application. You will upload files to your application by heading. As a reminder, **all attachments must be .PDF files, and they must be in a read-only, non-modifiable format**. Application files uploaded in other formats will **not** be accepted by the Department for review.

**The following eight forms are required:**

1. Application for Federal Assistance (SF-424)
2. Standard Budget Sheet (ED 524)
3. Assurances Non-Construction Programs (SF 424B)
4. Disclosure of Lobbying Activities (SF-LLL)
5. ED GEPA427 Form
6. Grants.gov Lobbying Form

7. Department of Education Supplemental Information for SF-424
8. Faith Based EEO Survey

**Note:** For more information and specific instructions for completing forms, please see [Section X, "Submission Forms"](#).

**The following four narrative headings require uploaded attachments:**

- 1. ED Abstract Narrative Form (accepts 1 attachment)**
- 2. Project Narrative Form (accepts multiple attachments)**
- 3. Other Narrative Form (accepts multiple attachments)**
- 4. Budget Narrative Form (accepts multiple attachments)**

**1. Abstract Narrative Form**

Attach the one-page abstract and include "Abstract" in the file name.

**2. Project Narrative Form**

Attach only the (50, double-spaced pages or less) project narrative and include "Project Narrative" in the file name. Again, this narrative can include a Table of Contents and Bibliography of referenced material; neither count toward the page limit.

**3. Budget Narrative Form**

This part requires an itemized budget breakdown for the project period and the basis for estimating the costs of personnel salaries, benefits, project staff travel, materials and supplies, consultants and subcontracts, indirect costs and any other projected expenditures. Descriptions of purchases may be included but are not required. Attach the budget narrative/justification and include "Budget Narrative" in the file name.

**4. Other Narrative Form**

Attach all other files here, including certifications, statements, documentation of multiple Phase II awards, and legend, if applicable. If collaboration with another organization is involved in the proposed activity, the application should include a partnership agreement or letter of support. Use file names that indicate the content of the file.

#### **D. Exception to Electronic Submission Requirement**

You qualify for an exception to the electronic submission requirement and may submit your application in paper format if you are unable to submit an application through Grants.gov because—

- You do not have access to the Internet; or
- You do not have the capacity to upload large documents to Grants.gov;

and

- No later than two weeks before the application deadline date (14 calendar days or, if the fourteenth calendar day before the application deadline date falls on a Federal holiday, the next business day following the Federal holiday), you mail or fax a written statement to the Department, explaining which of the two grounds for an exception prevents you from using the Internet to submit your application. If you mail your written statement to the Department, it must be postmarked no later than two weeks before the application deadline date. If you fax your written statement to the Department, we must receive the faxed statement no later than two weeks before the application deadline date.

Address and mail or fax your statement to: Lynn Medley, U.S. Department of Education, 400 Maryland Avenue, SW, room 5140, Potomac Center Plaza (PCP), Washington, DC 20202-2700.  
Fax: (202) 245-7323.

## **E. Mailing and Delivery Address**

### **1. Submission of Paper Applications by Mail**

If you qualify for an exception to the electronic submission requirement, you may mail (through the U.S. Postal Service or a commercial carrier) your application to the Department. You must mail the original and two copies of your application, on or before the application deadline date, to the Department at the following address:

U.S. Department of Education  
Application Control Center  
Attention: (CFDA Number 84.133S-1)  
LBJ Basement Level 1  
400 Maryland Avenue, SW  
Washington, DC 20202-4260

You must show proof of mailing consisting of one of the following:

- (1) A legibly dated U.S. Postal Service postmark,
- (2) A legible mail receipt with the date of mailing stamped by the U.S. Postal Service,
- (3) A dated shipping label, invoice, or receipt from a commercial carrier, or
- (4) Any other proof of mailing acceptable to the Secretary of the U.S. Department of Education.

If you mail your application through the U.S. Postal Service, we do not accept either of the following as proof of mailing:

- (1) A private metered postmark, or
- (2) A mail receipt that is not dated by the U.S. Postal Service.

If your application is postmarked after the application deadline date, we will not consider your application.

Note: The U.S. Postal Service does not uniformly provide a dated postmark. Before relying on this method, you should check with your local post office.

### **2. Submission of Paper Applications by Hand Delivery**

If you qualify for an exception to the electronic submission requirement, you (or a courier service) may deliver your paper application to the Department by hand. You must deliver the original and two copies of your application, by hand, on or before the application deadline date, to the Department at the following address:

U.S. Department of Education  
Application Control Center  
Attention: (CFDA Number 84.133S-1)  
550 12th Street, SW.  
Room 7041, Potomac Center Plaza  
Washington, DC 20202-4260



The Application Control Center accepts hand deliveries daily between 8:00 a.m. and 4:30:00 p.m., Washington, DC time, except Saturdays, Sundays, and Federal holidays.

Note for Mail or Hand Delivery of Paper Applications: If you mail or hand deliver your application to the Department--

You must indicate on the envelope and — if not provided by the Department — in Item 11 of the SF 424 the CFDA number, including suffix letter, if any, of the competition under which you are submitting your application; and The Application Control Center will mail to you a notification of receipt of your grant application. If you do not receive this grant notification within 15 business days from the application deadline date, you should call the U.S. Department of Education Application Control Center at (202) 245-6288.

## VII. SCIENTIFIC AND TECHNICAL INFORMATION SOURCES

Certain sources can provide information that can be useful in preparing SBIR applications. The Internet sites listed below can provide you with helpful material and links to other sites.

### SBIR Program-Related

Small Business Administration (SBA)	<a href="http://www.sba.gov/">www.sba.gov/</a>
SBIR.gov (formerly Tech-Net)	<a href="http://www.sbir.gov">www.sbir.gov</a>
Department of Education SBIR Program	<a href="http://www.ed.gov/programs/sbir/index.html">www.ed.gov/programs/sbir/index.html</a>

### Office of Special Education and Rehabilitative Services (OSERS)

OSERS Home Page	<a href="http://www2.ed.gov/about/offices/list/osers/index.html">www2.ed.gov/about/offices/list/osers/index.html</a>
National Institute on Disability and Rehabilitation Research	<a href="http://www.ed.gov/about/offices/list/osers/nidrr/index.html">www.ed.gov/about/offices/list/osers/nidrr/index.html</a>
National Center for the Dissemination of Disability Research	<a href="http://www.ncddr.org/">www.ncddr.org/</a>
National Rehabilitation Information Center	<a href="http://www.naric.com">www.naric.com</a>

### General

U.S. Department of Education	<a href="http://www.ed.gov">www.ed.gov</a>
Education Department General Administrative Regulations (EDGAR)	<a href="http://www.ed.gov/policy/fund/reg/edgarReg/edgar.html">www.ed.gov/policy/fund/reg/edgarReg/edgar.html</a>
U.S. Department of Education Grant Application and Other Forms	<a href="http://www.ed.gov/fund/grant/apply/appforms/appforms.html">www.ed.gov/fund/grant/apply/appforms/appforms.html</a>
U.S. Department of Education Technology Initiatives	<a href="http://www.ed.gov/about/offices/list/os/technology/index.html">www.ed.gov/about/offices/list/os/technology/index.html</a>

## **VIII. RESEARCH TOPICS**

### **A. Absolute Priority**

All SBIR projects funded by NIDRR must address the needs of individuals with disabilities. (See 29 U.S.C. 760.) Project activities may include:

- Conducting manufacturing-related R&D that encompasses improvements in existing methods or processes, or wholly new processes, machines, or systems, that benefit individuals with disabilities;
- Exploring the uses of technology to ensure equal access to education, employment, community environments, and information for individuals with disabilities; and
- Improving the quality and utility of disability and rehabilitation research.

Executive Order 13329 states that continued technological innovation is critical to a strong manufacturing sector in the United States economy and seeks to ensure that Federal agencies assist the private sector in its manufacturing innovation efforts. The Department's SBIR program encourages innovative R&D projects that are manufacturing-related, as defined by Executive Order 13329.

Manufacturing-related R&D encompasses improvements in existing methods and processes, as well as wholly new processes, machines, and systems. The Department's SBIR program supports a range of manufacturing-related R&D projects, including projects relating to the manufacture of such items as artificial intelligence and information technology devices, software, and systems. For more information on Executive Order 13329, please visit the following Web site:

[www.sba.gov/content/executive-order-13329-encouraging-innovation-manufacturing-0](http://www.sba.gov/content/executive-order-13329-encouraging-innovation-manufacturing-0) or contact Vanessa Tesoriero at: [Vanessa.Tesoriero@ed.gov](mailto:Vanessa.Tesoriero@ed.gov).

### **B. Invitational Priorities**

Under this competition we are particularly interested in applications that address one or more of the following invitational priorities.

For FY 2013 and any subsequent year in which we make awards from the list of unfunded applicants from this competition, these priorities are invitational priorities. Under 34 CFR 75.105(c)(1) we do not give an application that meets one of these invitational priorities a competitive or absolute preference over other applications.

Each of the following invitational priorities relates to innovative research utilizing new technologies to address the needs of individuals with disabilities. These priorities are:

1. Increased independence of individuals with disabilities in the workplace, recreational settings, or educational settings through the development of technology to support access and promote integration of individuals with disabilities.

2. Enhanced sensory or motor function of individuals with disabilities through the development of technology to support improved functional capacity.
3. Enhanced workforce participation through the development of technology to increase access to employment, promote sustained employment, and support employment advancement for individuals with disabilities.
4. Enhanced community living and participation for individuals with disabilities through the development of accessible information technology including cloud computing, software, systems, and devices that promote access to information in educational, employment, and community settings, and voting technology that improves access for individuals with disabilities.
5. Improved health-care interventions and increased use of related resources through the development of technology to support independent access to community health-care services for individuals with disabilities.

Applicants should describe the approaches they expect to use to collect empirical evidence demonstrating the effectiveness of the technology they are proposing. This empirical evidence should facilitate the assessment of the efficacy and usefulness of the technology.

Note: In responding to all invitational priorities, NIDRR encourages applicants to adhere to universal design principles and guidelines. The term “universal design” is defined as “the design of products and environments to be usable by all people, to the greatest extent possible, without the need for adaptation or specialized design” (The Center for Universal Design, 1997). Universal design of consumer products minimizes or alleviates barriers that reduce the ability of individuals with disabilities to effectively or safely use standard consumer products. (For more information see: [www.trace.wisc.edu/docs/consumer\\_product\\_guidelines/consumer.pcs/disabil.htm](http://www.trace.wisc.edu/docs/consumer_product_guidelines/consumer.pcs/disabil.htm)).

## **IX. NOTICE INVITING APPLICATION**

4000-01-U

DEPARTMENT OF EDUCATION

Applications for New Awards; National Institute on Disability  
and Rehabilitation Research (NIDRR)--Small Business Innovation  
Research (SBIR) Program--Phase I

AGENCY: Office of Special Education and Rehabilitative Services  
(OSERS), Department of Education

ACTION: Notice.

### **OVERVIEW INFORMATION:**

National Institute on Disability and Rehabilitation Research  
(NIDRR)--Small Business Innovation Research Program (SBIR)--  
Phase I

Notice inviting applications for new awards for fiscal year (FY)  
2013.

Catalog of Federal Domestic Assistance (CFDA) Number: 84.133S-1.

### **DATES:**

Applications Available: December 31, 2012.

Deadline for Transmittal of Applications: March 1, 2013.

Full Text of Announcement

I. Funding Opportunity Description

Purpose of Program: The purpose of the SBIR program is four-fold:

- Stimulate technological innovation in the private sector.
- Encourage participation in innovation and entrepreneurship by socially and economically disadvantaged persons.
- Strengthen the role of small business in meeting Federal research and development (R&D) needs.
- Increase private-sector commercialization of innovations derived from U.S. Department of Education (Department) R&D funding.

Background

The Small Business Innovation Development Act of 1982 (Act), Pub.L. 97-219, established the SBIR program. The Act requires certain agencies, including the Department, to reserve a statutory percentage of their extramural R&D budgets for the three-phase SBIR program.

Phase I awards are to determine, insofar as possible, the scientific or technical merit, feasibility, and commercial potential of R&D projects submitted under the SBIR program. Phase I awards are for amounts up to \$75,000 for a period of up to six months. Phase II projects continue the development of Phase I projects. Funding is based on the results achieved in Phase I and the scientific and technical merit and commercial potential of the proposed Phase II project. Only Phase I grantees are eligible to

apply for Phase II funding. Phase II awards are for amounts up to \$575,000 over a period of two years.

In Phase III, the small business grantee pursues commercial applications of the Phase I and II R&D. The SBIR program does not fund Phase III.

All SBIR projects funded by NIDRR must address the needs of individuals with disabilities. (See 29 U.S.C. 760.) Project activities may include:

- Conducting manufacturing-related R&D that encompasses improvements in existing methods or processes, or wholly new processes, machines, or systems, that benefit individuals with disabilities;
- Exploring the uses of technology to ensure equal access to education, employment, community environments, and information for individuals with disabilities; and
- Improving the quality and utility of disability and rehabilitation research.

Executive Order 13329 states that continued technological innovation is critical to a strong manufacturing sector in the United States economy and seeks to ensure that Federal agencies assist the private sector in its manufacturing innovation efforts. The Department's SBIR program encourages innovative R&D projects that are manufacturing-related, as defined by Executive Order 13329.

Manufacturing-related R&D encompasses improvements in existing methods and processes, as well as wholly new processes, machines, and systems. The Department's SBIR program supports a range of manufacturing-related R&D projects, including projects relating to the manufacture of such items as artificial intelligence and information technology devices, software, and systems. For more information on Executive Order 13329, please visit the following Web site: [www.sba.gov/content/executive-order-13329-encouraging-innovation-manufacturing-0](http://www.sba.gov/content/executive-order-13329-encouraging-innovation-manufacturing-0) or contact Vanessa Tesoriero at: [vanessa.tesoriero@ed.gov](mailto:vanessa.tesoriero@ed.gov).

Note: This program is in concert with NIDRR's currently approved long-range plan (the Plan). The Plan is comprehensive and integrates many issues relating to disability and rehabilitation research. The Plan, which was published in the Federal Register on February 15, 2006 (71 FR 8165), can be accessed on the Internet at the following site:

[www.ed.gov/about/offices/list/osers/nidrr/policy.html](http://www.ed.gov/about/offices/list/osers/nidrr/policy.html).

Through the implementation of the Plan, NIDRR seeks to—

(1) improve the quality and utility of disability and rehabilitation research; (2) foster an exchange of expertise, information, and training methods to facilitate the advancement of knowledge and understanding of the unique needs of individuals with disabilities from traditionally underserved populations; (3) determine best strategies and programs to



improve rehabilitation outcomes for individuals with disabilities from underserved populations; (4) identify research gaps; (5) identify mechanisms for integrating research and practice; and (6) disseminate findings.

Priorities: Under this competition we are particularly interested in applications that address one or more of the following priorities.

Invitational Priorities: For FY 2013 and any subsequent year in which we make awards from the list of unfunded applicants from this competition, these priorities are invitational priorities. Under 34 CFR 75.105(c)(1) we do not give an application that meets one of these invitational priorities a competitive or absolute preference over other applications.

Each of the following invitational priorities relates to innovative research utilizing new technologies to address the needs of individuals with disabilities. These priorities are:

(1) Increased independence of individuals with disabilities in the workplace, recreational settings, or educational settings through the development of technology to support access and promote integration of individuals with disabilities.

(2) Enhanced sensory or motor function of individuals with disabilities through the development of technology to support improved functional capacity.

(3) Enhanced workforce participation through the development of technology to increase access to employment, promote sustained employment, and support employment advancement for individuals with disabilities.

(4) Enhanced community living and participation for individuals with disabilities through the development of accessible information technology including cloud computing, software, systems, and devices that promote access to information in educational, employment, and community settings, and voting technology that improves access for individuals with disabilities.

(5) Improved health-care interventions and increased use of related resources through the development of technology to support independent access to community health-care services for individuals with disabilities.

Applicants should describe the approaches they expect to use to collect empirical evidence demonstrating the effectiveness of the technology they are proposing. This empirical evidence should facilitate the assessment of the efficacy and usefulness of the technology.

Note: In responding to all invitational priorities, NIDRR encourages applicants to adhere to universal design principles and guidelines. The term "universal design" is defined as "the design of products and environments to be usable by all people,

to the greatest extent possible, without the need for adaptation or specialized design" (The Center for Universal Design, 1997). Universal design of consumer products minimizes or alleviates barriers that reduce the ability of individuals with disabilities to effectively or safely use standard consumer products. (For more information see: [www.trace.wisc.edu/docs/consumer\\_product\\_guidelines/consumer.pcs/disabil.htm](http://www.trace.wisc.edu/docs/consumer_product_guidelines/consumer.pcs/disabil.htm)).

Program Authority: The Small Business Act, Pub. L. 85-536, as amended (15 U.S.C. 631 and 638), and title II of the Rehabilitation Act of 1973, as amended (29 U.S.C. 760 et seq.).

Applicable Regulations: (a) The Education Department General Administrative Regulations (EDGAR) in 34 CFR parts 75, 77, 81, 82, 84, 85, and 97. (b) The Education Department suspension and debarment regulations in 2 CFR part 3485.

## II. Award Information

Type of Award: Discretionary grants.

Estimated Available Funds: The Administration has requested \$106,817,000 for NIDRR for FY 2013, of which we intend to use an estimated \$1,125,000 for the SBIR Phase I competition. The actual level of funding, if any, depends on final congressional action. However, we are inviting applications to allow enough time to complete the grant process if Congress appropriates funds for this program.

Note: The estimated amount of funds available for new Phase I awards is based upon the estimated SBIR allocation for OSERS, minus prior commitments for Phase II continuation awards.

Contingent upon the availability of funds and the quality of applications, we may make additional awards in FY 2013 from the list of approved but unfunded applicants from this competition.

Estimated Range of Awards: \$70,000-\$75,000.

Estimated Average Size of Awards: \$75,000.

Maximum Award: We will reject any application that proposes a budget exceeding \$75,000 for a single budget period of up to six months. The Assistant Secretary for the Office of Special Education and Rehabilitative Services may change the maximum amount through a notice published in the Federal Register.

Note: The maximum award amount includes direct and indirect costs and fees.

Estimated Number of Awards: 15.

Note: The Department is not bound by any estimates in this notice.

Project Period: Up to 6 months. We will reject any application that proposes a project period that exceeds a single budget period of up to six months. The Assistant Secretary for the Office of Special Education and Rehabilitative Services may change the maximum project period through a notice published in the Federal Register.

### III. Eligibility Information

1. Eligible Applicants: Entities that are, at the time of award, small business concerns as defined by the Small Business Administration (SBA). This definition is included in the application package.

If it appears that an applicant organization does not meet the eligibility requirements, we will request an evaluation by the SBA. Under circumstances in which eligibility is unclear, we will not make an SBIR award until the SBA makes a determination that the applicant is eligible under its definition of small business concern.

Technology, science, and engineering firms with strong research capabilities in any of the priority areas listed in this notice are encouraged to participate. Consultative or other arrangements between these firms and universities or other nonprofit organizations are permitted, but the small business concern must serve as the grantee. For Phase I projects, at least two-thirds of the research or analytic activities must be performed by the small business concern grantee.

2. Cost Sharing or Matching: This program does not require cost sharing or matching.

3. Other: The total of all consultant fees, facility leases or usage fees, and other subcontracts or purchase agreements may not exceed one-third of the total funding award.

#### IV. Application and Submission Information

1. Address to Request Application Package: You can obtain an application package via the Internet or from the Education Publications Center (ED Pubs). To obtain a copy via the Internet, use the following address:

[www.ed.gov/fund/grant/apply/grantapps/index.html](http://www.ed.gov/fund/grant/apply/grantapps/index.html). To obtain a copy from ED Pubs, write, fax, or call the following: ED Pubs, U.S. Department of Education, P.O. Box 22207, Alexandria, VA 22304. Telephone, toll free: 1-877-433-7827. FAX: (703) 605-6794. If you use a telecommunications device for the deaf (TDD) or a text telephone (TTY), call, toll free: 1-877-576-7734.

You can contact ED Pubs at its Web site, also:  
[www.EDPubs.gov](http://www.EDPubs.gov) or at its email address: [edpubs@inet.ed.gov](mailto:edpubs@inet.ed.gov).

If you request an application from ED Pubs, be sure to identify this competition as follows: CFDA number 84.133S-1.

Individuals with disabilities can obtain a copy of the application package in an accessible format (e.g., braille, large print, audiotape, or compact disc) by contacting the team listed under Accessible Format in section VIII of this notice.

2. a. Content and Form of Application Submission: Requirements concerning the content of an application, together with the forms you must submit, are in the application package for this competition.

Page Limit: The application narrative is where you, the applicant, address the selection criteria that reviewers use to evaluate your application. You must limit the application narrative to the equivalent of no more than 50 pages, using the following standards:

- A "page" is 8.5" x 11", on one side only, with 1" margins at the top, bottom, and both sides.
- Double space (no more than three lines per vertical inch) all text in the application narrative. You are not required to double space titles, headings, footnotes, references, captions, or text in charts, tables, figures, and graphs.
- Use a font that is either 12 point or larger or no smaller than 10 pitch (characters per inch).
- Use one of the following fonts: Times New Roman, Courier, Courier New, or Arial.

The page limit does not apply to the cover sheet; the budget section, including the narrative budget justification; the assurances and certifications; the one-page abstract, the resumes, the bibliography, or the letters of support; related applications or awards; or the documentation of previous Phase II awards (required only if the small business concern has received more than 15 Phase II awards in the prior five fiscal

years). However, the page limit does apply to all of the application narrative section.

We will reject your application if you exceed the page limit or if you apply other standards and exceed the equivalent of the page limit.

b. Submission of Proprietary Information:

Given the types of projects that may be proposed in applications for the SBIR program, your application may include business information that you consider proprietary. The Department's regulations define "business information" in 34 CFR 5.11.

Because we plan to publicly highlight success stories on our Web site, you may wish to request confidentiality of business information.

Consistent with Executive Order 12600, please designate in your application any information that you feel is exempt from disclosure under Exemption 4 of the Freedom of Information Act. In the appropriate Appendix section of your application, under "Other Attachments Form," please list the page number or numbers on which we can find this information. For additional information please see 34 CFR 5.11(c).

3. Submission Dates and Times:

Applications Available: December 31, 2012.

Deadline for Transmittal of Applications: March 1, 2013.



Applications for grants under this program must be submitted electronically using the Grants.gov Apply site (Grants.gov). For information (including dates and times) about how to submit your application electronically, or in paper format by mail or hand delivery if you qualify for an exception to the electronic submission requirement, please refer to section IV. 7. Other Submission Requirements of this notice.

We do not consider an application that does not comply with the deadline requirements.

Individuals with disabilities who need an accommodation or auxiliary aid in connection with the application process should contact the person listed under For Further Information Contact in section VII of this notice. If the Department provides an accommodation or auxiliary aid to an individual with a disability in connection with the application process, the individual's application remains subject to all other requirements and limitations in this notice.

4. Intergovernmental Review: This program is not subject to Executive Order 12372 and the regulations in 34 CFR part 79.

5. Funding Restrictions: We reference regulations outlining funding restrictions in the Applicable Regulations section of this notice.

6. Data Universal Numbering System Number, Taxpayer Identification Number, and Central Contractor Registry: To do business with the Department of Education, you must--

- a. Have a Data Universal Numbering System (DUNS) number and a Taxpayer Identification Number (TIN);
- b. Register both your DUNS number and TIN with the Central Contractor Registry (CCR)--and, after July 24, 2012, with the System for Award Management (SAM), the Government's primary registrant database;
- c. Provide your DUNS number and TIN on your application; and
- d. Maintain an active CCR or SAM registration with current information while your application is under review by the Department and, if you are awarded a grant, during the project period.

You can obtain a DUNS number from Dun and Bradstreet. A DUNS number can be created within one business day.

If you are a corporate entity, agency, institution, or organization, you can obtain a TIN from the Internal Revenue Service. If you are an individual, you can obtain a TIN from the Internal Revenue Service or the Social Security Administration. If you need a new TIN, please allow 2-5 weeks for your TIN to become active.

The CCR or SAM registration process may take five or more business days to complete. If you are currently registered with the CCR, you may not need to make any changes. However, please make certain that the TIN associated with your DUNS number is correct. Also, note that you will need to update your registration annually. This may take three or more business days to complete. Information about SAM is available at SAM.gov.

In addition, if you are submitting your application via Grants.gov, you must (1) be designated by your organization as an Authorized Organization Representative (AOR); and (2) register yourself with Grants.gov as an AOR. Details on these steps are outlined at the following Grants.gov Web page: [www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp).

7. Other Submission Requirements: Applications for grants under this program must be submitted electronically unless you qualify for an exception to this requirement in accordance with the instructions in this section.

a. Electronic Submission of Applications.

Applications for grants under the SBIR Program, CFDA number 84.133S-1, must be submitted electronically using the Governmentwide Grants.gov Apply site at [www.Grants.gov](http://www.Grants.gov). Through this site, you will be able to download a copy of the application package, complete it offline, and then upload and

submit your application. You may not email an electronic copy of a grant application to us.

We will reject your application if you submit it in paper format unless, as described elsewhere in this section, you qualify for one of the exceptions to the electronic submission requirement and submit, no later than two weeks before the application deadline date, a written statement to the Department that you qualify for one of these exceptions. Further information regarding calculation of the date that is two weeks before the application deadline date is provided later in this section under Exception to Electronic Submission Requirement.

You may access the electronic grant application for the SBIR Program at [www.Grants.gov](http://www.Grants.gov). You must search for the downloadable application package for this program by the CFDA number. Do not include the CFDA number's alpha suffix in your search (e.g., search for 84.133, not 84.133S).

Please note the following:

- When you enter the Grants.gov site, you will find information about submitting an application electronically through the site, as well as the hours of operation.
- Applications received by Grants.gov are date and time stamped. Your application must be fully uploaded and submitted and must be date and time stamped by the Grants.gov system no later than 4:30:00 p.m., Washington, DC time, on the application

deadline date. Except as otherwise noted in this section, we will not accept your application if it is received--that is, date and time stamped by the Grants.gov system--after 4:30:00 p.m., Washington, DC time, on the application deadline date. We do not consider an application that does not comply with the deadline requirements. When we retrieve your application from Grants.gov, we will notify you if we are rejecting your application because it was date and time stamped by the Grants.gov system after 4:30:00 p.m., Washington, DC time, on the application deadline date.

- The amount of time it can take to upload an application will vary depending on a variety of factors, including the size of the application and the speed of your Internet connection. Therefore, we strongly recommend that you do not wait until the application deadline date to begin the submission process through Grants.gov.

- You should review and follow the Education Submission Procedures for submitting an application through Grants.gov that are included in the application package for this competition to ensure that you submit your application in a timely manner to the Grants.gov system. You can also find the Education Submission Procedures pertaining to Grants.gov under News and Events on the Department's G5 system home page at [www.G5.gov](http://www.G5.gov).

- You will not receive additional point value because you submit your application in electronic format, nor will we penalize you if you qualify for an exception to the electronic submission requirement, as described elsewhere in this section, and submit your application in paper format.

- You must submit all documents electronically, including all information you typically provide on the following forms: the Application for Federal Assistance (SF 424), the Department of Education Supplemental Information for SF 424, Budget Information--Non-Construction Programs (ED 524), and all necessary assurances and certifications.

- You must upload any narrative sections and all other attachments to your application as files in a PDF (Portable Document) read-only, non-modifiable format. Do not upload an interactive or fillable PDF file. If you upload a file type other than a read-only, non-modifiable PDF or submit a password-protected file, we will not review that material.

- Your electronic application must comply with any page-limit requirements described in this notice.

- After you electronically submit your application, you will receive from Grants.gov an automatic notification of receipt that contains a Grants.gov tracking number. (This notification indicates receipt by Grants.gov only, not receipt by the Department.) The Department then will retrieve your

application from Grants.gov and send a second notification to you by email. This second notification indicates that the Department has received your application and has assigned your application a PR/Award number (an ED-specified identifying number unique to your application).

- We may request that you provide us original signatures on forms at a later date.

Application Deadline Date Extension in Case of Technical Issues

with the Grants.gov System: If you are experiencing problems submitting your application through Grants.gov, please contact the Grants.gov Support Desk, toll free, at 1-800-518-4726. You must obtain a Grants.gov Support Desk Case Number and must keep a record of it.

If you are prevented from electronically submitting your application on the application deadline date because of technical problems with the Grants.gov system, we will grant you an extension until 4:30:00 p.m., Washington, DC time, the following business day to enable you to transmit your application electronically or by hand delivery. You also may mail your application by following the mailing instructions described elsewhere in this notice.

If you submit an application after 4:30:00 p.m., Washington, DC time, on the application deadline date, please contact the person listed under For Further Information Contact

in section VII of this notice and provide an explanation of the technical problem you experienced with Grants.gov, along with the Grants.gov Support Desk Case Number. We will accept your application if we can confirm that a technical problem occurred with the Grants.gov system and that that problem affected your ability to submit your application by 4:30:00 p.m., Washington, DC time, on the application deadline date. The Department will contact you after a determination is made on whether your application will be accepted.

Note: The extensions to which we refer in this section apply only to the unavailability of, or technical problems with, the Grants.gov system. We will not grant you an extension if you failed to fully register to submit your application to Grants.gov before the application deadline date and time or if the technical problem you experienced is unrelated to the Grants.gov system.

Exception to Electronic Submission Requirement: You qualify for an exception to the electronic submission requirement, and may submit your application in paper format, if you are unable to submit an application through the Grants.gov system because--

- You do not have access to the Internet; or
- You do not have the capacity to upload large documents to the Grants.gov system;

and



- No later than two weeks before the application deadline date (14 calendar days or, if the fourteenth calendar day before the application deadline date falls on a Federal holiday, the next business day following the Federal holiday), you mail or fax a written statement to the Department, explaining which of the two grounds for an exception prevent you from using the Internet to submit your application.

If you mail your written statement to the Department, it must be postmarked no later than two weeks before the application deadline date. If you fax your written statement to the Department, we must receive the faxed statement no later than two weeks before the application deadline date.

Address and mail or fax your statement to: Lynn Medley, U.S. Department of Education, 400 Maryland Avenue, SW., room 5140, PCP, Washington, DC 20202-2700.

Your paper application must be submitted in accordance with the mail or hand delivery instructions described in this notice.

b. Submission of Paper Applications by Mail.

If you qualify for an exception to the electronic submission requirement, you may mail (through the U.S. Postal Service or a commercial carrier) your application to the Department. You must mail the original and two copies of your application, on or before the application deadline date, to the Department at the following address:

U.S. Department of Education  
Application Control Center  
Attention: (CFDA Number 84.133S-1)  
LBJ Basement Level 1  
400 Maryland Avenue, SW.  
Washington, DC 20202-4260

You must show proof of mailing consisting of one of the following:

- (1) A legibly dated U.S. Postal Service postmark.
- (2) A legible mail receipt with the date of mailing stamped by the U.S. Postal Service.
- (3) A dated shipping label, invoice, or receipt from a commercial carrier.
- (4) Any other proof of mailing acceptable to the Secretary of the U.S. Department of Education.

If you mail your application through the U.S. Postal Service, we do not accept either of the following as proof of mailing:

- (1) A private metered postmark.
- (2) A mail receipt that is not dated by the U.S. Postal Service.

If your application is postmarked after the application deadline date, we will not consider your application.

Note: The U.S. Postal Service does not uniformly provide a dated postmark. Before relying on this method, you should check with your local post office.

c. Submission of Paper Applications by Hand Delivery.

If you qualify for an exception to the electronic submission requirement, you (or a courier service) may deliver your paper application to the Department by hand. You must deliver the original and two copies of your application by hand, on or before the application deadline date, to the Department at the following address:

U.S. Department of Education  
Application Control Center  
Attention: (CFDA Number 84.133S-1)  
550 12th Street, SW.  
Room 7041, Potomac Center Plaza  
Washington, DC 20202-4260

The Application Control Center accepts hand deliveries daily between 8:00 a.m. and 4:30:00 p.m., Washington, DC time, except Saturdays, Sundays, and Federal holidays.

Note for Mail or Hand Delivery of Paper Applications: If you mail or hand deliver your application to the Department--

(1) You must indicate on the envelope and--if not provided by the Department--in Item 11 of the SF 424 the CFDA number, including suffix letter, if any, of the competition under which you are submitting your application; and

(2) The Application Control Center will mail to you a notification of receipt of your grant application. If you do not receive this notification within 15 business days from the

application deadline date, you should call the U.S. Department of Education Application Control Center at (202) 245-6288.

V. Application Review Information

1. Selection Criteria: The selection criteria for this competition are from 34 CFR 75.210 of EDGAR and are listed in the application package.

2. Review and Selection Process: We remind potential applicants that in reviewing applications in any discretionary grant competition, the Secretary may consider, under 34 CFR 75.217(d)(3), the past performance of the applicant in carrying out a previous award, such as the applicant's use of funds, achievement of project objectives, and compliance with grant conditions. The Secretary may also consider whether the applicant failed to submit a timely performance report or submitted a report of unacceptable quality.

In addition, in making a competitive grant award, the Secretary also requires various assurances including those applicable to Federal civil rights laws that prohibit discrimination in programs or activities receiving Federal financial assistance from the Department of Education (34 CFR 100.4, 104.5, 106.4, 108.8, and 110.23).

3. Special Conditions: Under 34 CFR 74.14 and 80.12, the Secretary may impose special conditions on a grant if the applicant or grantee is not financially stable; has a history of

unsatisfactory performance; has a financial or other management system that does not meet the standards in 34 CFR parts 74 or 80, as applicable; has not fulfilled the conditions of a prior grant; or is otherwise not responsible.

#### VI. Award Administration Information

1. Award Notices: If your application is successful, we notify your U.S. Representative and U.S. Senators and send you a Grant Award Notification (GAN). We may notify you informally, also.

If your application is not evaluated or not selected for funding, we notify you.

2. Administrative and National Policy Requirements: We identify administrative and national policy requirements in the application package and reference these and other requirements in the Applicable Regulations section of this notice.

We reference the regulations outlining the terms and conditions of an award in the Applicable Regulations section of this notice and include these and other specific conditions in the GAN. The GAN also incorporates your approved application as part of your binding commitments under the grant.

3. Reporting: (a) If you apply for a grant under this competition, you must ensure that you have in place the necessary processes and systems to comply with the reporting requirements in 2 CFR part 170 should you receive funding under

the competition. This does not apply if you have an exception under 2 CFR 170.110(b).

(b) At the end of your project period, you must submit a final performance report, including financial information, as directed by the Secretary. If you receive a multi-year award, you must submit an annual performance report that provides the most current performance and financial expenditure information as directed by the Secretary under 34 CFR 75.118. The Secretary may also require more frequent performance reports under 34 CFR 75.720(c). For specific requirements on reporting, please go to [www.ed.gov/fund/grant/apply/appforms/appforms.html](http://www.ed.gov/fund/grant/apply/appforms/appforms.html).

4. Performance Measures: To evaluate the overall success of its research program, NIDRR assesses the quality of its funded projects through review of grantee performance and products. Each year, NIDRR examines a portion of its SBIR grantees to determine the percentage of NIDRR-funded grant applications that receive an average peer review score of 85 or higher.

Department of Education program performance reports, which include information on NIDRR programs, are available on the Department's Web site:  
[www.ed.gov/about/offices/list/oeped/sas/index.html](http://www.ed.gov/about/offices/list/oeped/sas/index.html).

5. Continuation Awards: In making a continuation award, the Secretary may consider, under 34 CFR 75.253, the extent to

which a grantee has made "substantial progress toward meeting the objectives in its approved application." This consideration includes the review of a grantee's progress in meeting the targets and projected outcomes in its approved application, and whether the grantee has expended funds in a manner that is consistent with its approved application and budget. In making a continuation grant, the Secretary also considers whether the grantee is operating in compliance with the assurances in its approved application, including those applicable to Federal civil rights laws that prohibit discrimination in programs or activities receiving Federal financial assistance from the Department (34 CFR 100.4, 104.5, 106.4, 108.8, and 110.23).

VII. Agency Contact

For Further Information Contact: Lynn Medley or Marlene Spencer  
as follows:

Lynn Medley, U.S. Department of Education, 400 Maryland Avenue, SW., room 5140, PCP, Washington, DC 20202-2700.

Telephone: (202) 245-7338 or by email: [lynn.medley@ed.gov](mailto:lynn.medley@ed.gov).

Marlene Spencer, U.S. Department of Education, 400 Maryland Avenue, SW., room 5133, PCP, Washington, DC 20202-2700.

Telephone: (202) 245-7532 or by email: [marlene.spencer@ed.gov](mailto:marlene.spencer@ed.gov).

If you use a TDD or TTY, call the FRS, toll free, at 1-800-877-8339.

VIII. Other Information

Accessible Format: Individuals with disabilities can obtain this document and a copy of the application package in an accessible format (e.g., braille, large print, audiotape, or compact disc) by contacting the Grants and Contracts Services Team, U.S. Department of Education, 400 Maryland Avenue, SW., room 5075, PCP, Washington, DC 20202-2550. Telephone: (202) 245-7363. If you use a TDD or a TTY, call the FRS, toll free, at 1-800-877-8339.

Electronic Access to This Document: The official version of this document is the document published in the Federal Register. Free Internet access to the official edition of the Federal Register and the Code of Federal Regulations is available via the Federal Digital System at: [www.gpo.gov/fdsys](http://www.gpo.gov/fdsys). At this site you can view this document, as well as all other documents of this Department published in the Federal Register, in text or Adobe Portable Document Format (PDF). To use PDF you must have Adobe Acrobat Reader, which is available free at the site.



You may also access documents of the Department published in the Federal Register by using the article search feature at: [www.federalregister.gov](http://www.federalregister.gov). Specifically, through the advanced search feature at this site, you can limit your search to documents published by the Department.

Dated:

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Michael Yudin,  
Acting Assistant Secretary for  
Special Education and  
Rehabilitative Services.

## **X. SUBMISSION FORMS**

### **ONLY THE PRIMARY INSTITUTION FILLS OUT THE REQUIRED FORMS.**

Any partner or collaborating groups will be a subcontractor to the primary. The only paperwork the subcontractor should complete is that required by the primary institution. You should include a letter of intent in the application from any collaborating group saying that if awarded what goals/duties they will be responsible for and the dollar amount associated with their involvement.

This section contains all of the following required forms and official instructions for each:

1. Application for Federal Assistance (SF-424)\*
2. Department of Education Supplemental Information for SF-424\*
3. Assurances for Non-Construction Programs (SF-424B)
4. Department of Education Budget Information for Non-Construction Programs (ED-524)\*
5. Disclosure of Lobbying Activities (SF-LLL)
6. ED GEPA427 Form
7. Grants.gov Lobbying Form (ED-80-0013)
8. Faith Based EEO Survey

*\* Denotes that additional tips and guidelines for these three forms are included on the following pages for your reference.*

➤ **APPLICATION FOR FEDERAL ASSISTANCE (SF-424)**

This application cover sheet requires basic identifying information about the applicant and the application.

- Leave the following blocks blank or enter N/A:
  - **Block 4**-Applicant Identifier
  - **Block 5a**- Federal Entity Identifier
  - **Block 5b**- Federal Award Identifier
  - **Block 6**-Date Received by State
  - **Block 7**-State Application Number
- CFDA Number: In the title block of #11, please note the appropriate CFDA (**84.133S-1**).
- DUNS number:
  - Dun & Bradstreet, a global information services provider, has assigned DUNS numbers to over 43 million companies worldwide. The DUNS Number is a unique nine-digit number that does not convey any information about the recipient. A built in check digit helps assure the accuracy of the DUNS Number. The ninth digit of each number is the check digit, which is mathematically related to the other digits. It lets computer systems determine if a DUNS Number has been entered correctly.
  - Electronic submission via Grants.gov must use the DUNS number your organization used when it registered in SAM.
  - Check with your fiscal office to see if your institution has an assigned DUNS number before contacting Dun & Bradstreet. You can obtain your DUNS Number at no charge by calling **1-800-333-0505** or by completing a DUNS Number Request Form. The form can be obtained via the Internet at the following URL: [http://www.dnb.com/US/duns\\_update/index.html](http://www.dnb.com/US/duns_update/index.html)
- EO 12372: Mark Block #19, the EO 12372 as no and not covered. This program is not covered.

➤ **DEPARTMENT OF EDUCATION SUPPLEMENTAL INFORMATION FOR THE SF-424**

The ED Supplement to the SF 424 on Grants.gov requires applicants to indicate whether they plan to conduct research involving human subjects at any time during the proposed project period.

**Protection of Human Subjects**

**Projects involving research on human subjects will require grantee compliance with the Department of Education's Protection of Human Subjects Regulations, 34 CFR Part 97. Please give thorough consideration for the need of any human subject involvement in the Phase I feasibility work. All human subjects in research issues MUST be resolved prior to a grant award.**

Applicants answering "Yes" to item 3 on form **ED Supplemental to the SF-424**, whose research activities are nonexempt, must complete the seven-point narrative on protection of human subjects. Additionally, seven point narratives are required for each participating partner if research is being conducted at other sites. If you are applying on Grants.gov there is a separate place to include exempt and non-exempt narratives.

Copies of the Department of Education's regulations for the Protection of Human Subjects are available on the ED website at: <http://www.ed.gov/about/offices/list/ocfo/humansub.html>

For questions pertaining to human subjects in research, please contact:

Jeffery Rodamar  
Protection of Human Subjects Coordinator  
Office of the Chief Financial Officer  
400 Maryland Avenue, SW  
Room 6144, PCP  
Washington, DC 20202  
(202) 245-8090

Individuals who use a telecommunications device for the deaf (TDD) may call the Federal Information Relay Service at 1-800-877-8339 between 8 a.m. and 8 p.m., Eastern Standard Time, Monday through Friday.

Unless all the proposed human subjects research meets one or more of the regulation's exemptions, awardees involving human subjects will be requested to file an "Assurance of Compliance with the Regulations" and have the project's research protocol reviewed and approved by an Institutional Review Board (IRB). The costs related to obtaining required Institutional Review Board reviews can be included as a direct cost, provided the costs are necessary and reasonable.

**YOU DO NOT NEED AN ASSURANCE OR IRB APPROVAL AS A CONDITION OF APPLYING FOR THIS AWARD.**

Protection of Pupil Rights Amendment (PPRA)

This grant is subject to the Protection of Pupil Rights Amendment (PPRA), 20 U.S.C. 1232h, 34 CFR Part 98. PPRA is a law that governs the administration of certain Department-funded surveys. The law provides that a school district must obtain the prior written consent of a parent if the district “requires” a student to take a survey, i.e., the survey is not voluntary. In addition, the PPRA only applies to a survey if the survey asks certain types of questions (e.g., questions that reveal information about illegal behavior, psychological problems potentially embarrassing to the student, or sex behavior and attitudes). Grantees should be aware of the requirements of PPRA if they plan to use Departmental funds to develop surveys for elementary or secondary school students.

Additional information is available online at: <http://www.ed.gov/policy/gen/guid/fpco/index.html>

For questions and technical assistance, please contact:

Family Policy Compliance Office  
U.S. Department of Education  
400 Maryland Avenue, SW  
Washington, D.C. 20202-4605  
(202) 260-3887

Individuals who use a telecommunications device for the deaf (TDD) may call the Federal Information Relay Service at 1-800-877-8339 between 8 a.m. and 8 p.m., Eastern Standard Time, Monday through Friday.

➤ **DEPARTMENT OF EDUCATION BUDGET INFORMATION FOR NON-CONSTRUCTION PROGRAMS (ED-524)**

On this form, BE SURE TO CHECK THE MATH. The application will not be reviewed if the request for funds on block 18a of the SF 424 form, the ED 524 form or the budget justifications goes over the maximum amount for any year (direct and indirect costs). The funding amounts requested under individual budgetary line items on the Budget Summary page of the ED 524 form must be consistent with requested funding amounts specified in the budget narrative. A detailed budget narrative is needed for the total grant period.

Personnel (Line 1): Enter project personnel salaries and wages only. Include fees and expenses for consultants on line 6.

Fringe Benefits (Line 2): The institution's normal fringe benefits contribution may be charged to the program. Leave this line blank if fringe benefits applicable to direct salaries and wages are treated as part of the indirect cost.

Travel (Line 3): Indicate the travel costs of employees and participants only. Include travel of persons such as consultants and trainees on line 6.

Equipment (Line 4): Indicate the cost of tangible, non-expendable personal property that has usefulness greater than one year and acquisition costs that are the lesser of the capitalization level established by the applicant entity for financial statement purposes or \$5,000 per article. Lower limits may be established to maintain consistency with the applicant's policy.

Supplies (line 5): Show all tangible personal property except that on line 4.

Contractual (line 6): The contractual category should include all costs specifically incurred with actions that the applicant takes in conjunction with an established internal procurement system. Include consultant fees, expenses, and travel costs in this category if the consultant's services are obtained through a written binding agreement or contract.

Construction (line 7): Not applicable.

Other (line 8): Indicate all direct costs not covered on lines 1-6. For example, include costs such as space rental, required fees, honoraria and travel (where a contract is not in place for services), stipends, training, and communication and printing costs.

Total Direct Costs (line 9): The sum of lines 1-8.

Indirect Costs (line 10): There is no restricted indirect cost rate for this program. You should use your federal negotiated indirect cost rate.

Training Stipends (line 11): There are three types of projects that might include budget requests for stipends, tuition allowance, or other types of similar charges to support the objectives of the project:

- Fellowship or Scholarship Programs; Educational Training Projects; and projects where students receive tuition remission or other forms of compensation, as, or in lieu of wages.

Total Cost (line 12): This should equal to sum of lines 9-11 (total direct costs + indirect + stipends). The sum for column one, labeled *Project Year 1* (a), should also be equal to item 13a on the application cover sheet (ED Form 424).

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. Public reporting burden for this collection of information is estimated to average 45 hours per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. The obligation to respond to this collection is required to obtain or retain a benefit (Small Business Authorization Act of 2000, H.R. 5667). Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Education, 400 Maryland Ave., SW, Washington, DC 20210-4537 or email [ICDocketMgr@ed.gov](mailto:ICDocketMgr@ed.gov) and reference the OMB Control Number 1820-0684. Note: Please do not return the completed Small Business Innovation Research Program Phase I Grant Application Package to this address.